

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

09669/003001

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/857732

INTERNATIONAL APPLICATION NO.

PCT/FR99/03065

INTERNATIONAL FILING DATE

08 December 1999

PRIORITY DATE CLAIMED

08 December 1998

TITLE OF INVENTION

APPLICATION SOFTWARE INITIALIZATION DEVICE AND METHOD IN A CARD HAVING AN
INTEGRATED CIRCUIT

APPLICANT(S) FOR DO/EO/US

Yannick BURLIANNE

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:



22511

PATENT TRADEMARK OFFICE

French Search Report (4 pgs)

APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/857732

INTERNATIONAL APPLICATION NO.

PCT/FR99/03065

ATTORNEY'S DOCKET NUMBER

09669/003001

21. The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :

- ☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$970.00
- ☒ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$840.00
- ☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$690.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$670.00
- ☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$96.00

ENTER APPROPRIATE BASIC FEE AMOUNT =**\$840.00**

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

\$0.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	10 - 20 =	0	x \$18.00
Independent claims	2 - 3 =	0	x \$78.00

\$0.00**\$0.00**

Multiple Dependent Claims (check if applicable).

☒**\$260.00****TOTAL OF ABOVE CALCULATIONS =****\$1,100.00**

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).

☐**\$0.00****SUBTOTAL =****\$1,100.00**

Processing fee of **\$130.00** for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).

+

\$0.00**TOTAL NATIONAL FEE =****\$1,100.00**

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).

☐**\$0.00****TOTAL FEES ENCLOSED =****\$1,100.00**Amount to be:
refunded

\$

charged

\$

☒ A check in the amount of **\$1,100.00** to cover the above fees is enclosed.

☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **500-591** A duplicate copy of this sheet is enclosed.

OTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.37(a) or (b)) must be filed and granted to restore the application to pending status.

END ALL CORRESPONDENCE TO:

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REGISTRATION NUMBER

DATE

6/8/01

09/857732

531 Rec'd PCT/PTO 08 JUN 2001

PATENT
ATTORNEY DOCKET NO. 09669/003001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Yannick BURIANNE
Serial No.:
Filed :
Title : APPLICATION SOFTWARE INITIALIZATION DEVICE AND METHOD IN A
CARD HAVING AN INTEGRATED CIRCUIT

Art Unit :
Examiner :

Assistant Commissioner for Patents
Washington, DC 20231

PRELIMINARY AMENDMENT

Sir:

Before examining the referenced application on the merits, please amend the application as outlined below:

In the Specification:

Please add the following:

Page 1, line 5, insert --FIELD OF THE INVENTION-- as a heading prior to beginning of the paragraph.

Page 1, line 10, insert --BACKGROUND OF THE INVENTION-- as a heading prior to beginning of the paragraph.

Page 2, line 13, insert --SUMMARY OF THE INVENTION-- as a heading prior to beginning of the paragraph.

Page 3, line 24, insert --BRIEF DESCRIPTION OF THE DRAWINGS-- as a heading prior to beginning of the paragraph.

Page 4, line 1, insert --DETAILED DESCRIPTION-- as a heading prior to beginning of the paragraph.


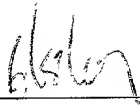
REMARKS

Applicant is adding the above headings to indicate required areas of the application. No new matter has been introduced by way of this amendment. Full examination and favorable action are respectfully requested.

Please charge any fees, or make any credits, to Deposit Account No. 500-591, Reference No. 09889/003001.

Respectfully submitted,

Date: _____



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531 Rec'd

06 JUN 2001

APPLICATION SOFTWARE INITIALIZATION DEVICE AND METHOD IN
A CARD HAVING AN INTEGRATED CIRCUIT

5 This invention relates to an integrated circuit device comprising a memory and at least one application software residing in the memory. It also relates to a method for initializing an application program in such a device.

10 These devices are, in particular, portable items such as smart cards having application programs relating to the fields of health, mobile telephony, as well as banking transactions.

15 Such smart cards comprise a card body into which an electronic unit is integrated, which contains, in a conventional way, a control unit (such as a central processing unit or CPU) and a memory. This memory comprises at least one application program containing unitary elements which are assigned values so that the
20 program can be executed, wherein these elements are not modified when the application program is executed. These elements are referred to as configurable variables.

25 In view of configuring said variables, the state of the art provides devices that use files containing data assigned to variables in a so-called initialization phase. This initialization phase is necessary for a proper execution of the application program. In order to do so, these devices comprise control means for modifying the values of initialization data within said
30 files and then assigning these data to said variables. When the variables are permanently stored within the memory, they maintain their initial value even if the card is no longer powered.

35 Although these devices allow an application program to be configured, the initialization values are duplicated within two memory spaces having substantially identical sizes, one of which contains the initialization data files and the other being the memory

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space allocated to variables which are initialized with said data, which can be problematic because of the limited available memory of smart cards. Moreover, the execution time of such application program is substantially increased, in particular due to the requirement to perform the initialization phase on every execution of the program even if the initialization values have not changed, as the initialization phase is an integral part of the application program. Finally, there are cases where either the application program has no privilege for file access, or the card simply has no file associated with it.

Therefore, a technical problem to be solved according to the present invention is to provide a device having an integrated circuit comprising a memory and at least one application program residing within said memory, and a method for initializing an application program in such a device, which would allow, on the one hand, to configure an application program without having to duplicate data and thus avoiding memory space losses due to the above-mentioned files, and on the other hand, to avoid increasing the execution time of said application program.

According to the present invention, a solution to the technical problem posed is such that said application program comprises at least one configurable variable and a list of at least one reference element, in that said memory includes, on the one hand, at least one means for initializing said variables, wherein said means is set-up with several parameters, one of which is the reference element list, and on the other hand, a command for sending data specifically containing values to be assigned to the configurable variables.

According to a second object of the present invention, this solution is characterized in that the initialization method includes the steps of :

- generating, within said application program, at least one configurable variable and a list of at least one reference element,

- sending data specifically containing values to be
5 assigned to the configurable variables,

- initializing said variables through the use of one initializing means, wherein said means is set-up with several parameters, one of which parameters is the reference element list.

10 Thus, as shown in detail below, the device according to the invention enables optimal management of the card memory and direct configuration of the variables in an application program by using the command for modifying the values assigned to the configurable
15 variables and also, by using the reference element list passed as a parameter to the initialization means, which list allows a link to be established between the values sent by the command and the variables in the application program to be configured.

20 Other features and advantages of the invention will become apparent in the following description of the invention disclosed by way of non-limiting examples in reference to the appended figures.

Figure 1 is a schematic diagram of an integrated
25 circuit device, here a smart card.

Figure 2 is a schematic diagram of a memory in the card of Figure 1.

Figure 3 is a schematic diagram of an application program in the card of Figure 1.

30 Figure 4 is a schematic diagram of a command in the card of Figure 1.

Figure 5 is a schematic diagram of an element list in an application program in the memory of Figure 2.

35 Figure 6 is another schematic diagram of the memory in the card of Figure 1.

Figure 7 is a schematic diagram showing the variables contained in the application program of Figure 3.

In Figure 1, there is shown an integrated device 10, here a smart card.

Card 10 contains a control unit 11 (for example a central processing unit or CPU), a memory 12 and a contact block 13 for electrical connection, for example, to a card reader connector.

Memory 12 is shown in Figure 2. It contains an application program A. Program A comprises at least one configurable variable V and a list L of at least one reference element R. The memory comprises, on the one hand, at least one initialization means MI for said variables V, said means being set-up with several parameters, one of which parameters is list L of reference elements, and, on the other hand, a command CDE for sending data specifically containing values to be assigned to the configurable variables. Means MI is implemented as a function or a piece of software. In Figure 3, application program A has three configurable variables V1, V2 and V3 and one list L that contains three reference elements R1, R2 and R3.

So that program A proceeds properly, its variables have to be configured, that is, they must be assigned values.

In a first step, command CDE is sent to card 10. It contains data, such as a number of reference elements R, numbers indexing reference elements in a list, associated values, and the like. In Figure 4, command CDE sends the three following alphanumerical values : GSM APPLICATION, DIAL and CALLING. These values are preceded with indexes 1, 2 and 3 which correspond to three reference elements.

When application program A receives command CDE, it is executed, so that the initialization phase that invokes means MI is thus started.

In a second step, a link is built between the values sent by command CDE and reference elements of a specific list L. Reference element list L, which configures initialization means MI, allows this link to

be established. Other parameters are, inter alia, data sent by command CDE. List L is specified, for example, by providing its name. In Figure 5, L is called CUSTOMELEMENT. It contains three reference elements, MENU, TEXT and MESSAGE, to which are associated the alphanumeric values GSM APPLICATION, DIAL and CALLING, respectively. These values originate from command CDE.

In a third step, initialization means MI establish a link between the values of list L and variables V to be configured, by means of reference elements R. In order to do so, a reference element R references a configurable variable V. In figure 3, R1, R2 and R3 refer to variables V1, V2 and V3, respectively, the latter being variables whose contents have to be initialized totally or partially. It is by using these different links that the values are transferred to said variables.

Once the transfer has been performed, the configuration of application program A is completed and the rest of the program can proceed as desired. The device according to this invention has no file and therefore the variables have been directly configured.

It should be noted that, according to the invention, command CDE also enables reading the configurable variable contents, because the command includes a parameter referred to as MODE, which indicates whether the command should send or read data. Accordingly, the values of variables V can be read at any time, so that, the configuration of application program A can be known at all time.

It may be useful, for saving memory space and making initialization more consistent, to enable one or more application programs to use the same initialization means MI. Thus, at least one initialization means MI resides within the memory, irrespective of application program A. As a consequence, means MI can be used by any application program residing on card 10 and is not specific to any particular program A. As shown in Figure

6, means MI1 is independent of application programs A1 and A2 and can therefore be used by either one of these programs.

It may also be useful, however, to enable customization of the initialization means for a given application program by providing means other than MI1, for example in the case where it is desired to have a data exchange protocol other than the one used in MI1, namely by using a different initialization data format. As shown in Figure 6, at least one application program A2 comprises initializing means MI2. For configuring variables in A2, it will be possible to use either of means MI1 and MI2 if the variables comply with the respective data format of said means.

It should also be noted that it is possible to avoid using means MI independent of any application program, in which case each initialization means MI is assigned to a given application program or, on the contrary, to use only independent means.

More specifically, the present invention can be applied to application programs that are programmed with high level languages such as, in particular, the so-called JAVA language (registered trade name). This language is based on the concepts of class, inheritance, attribute, and method, that are well known to those skilled in the art.

In the case where application program A is written in JAVA, the configurable variables are objects and a list of reference elements refers to a set of objects. In Figure 7, memory 12 comprises an application program A. Application program A has at least two configurable variables V1 and V3 referenced in the same list, which derives from the same parent class C0. In addition, said application program A has at least two configurable variables V1 and V2 referred to in the same list, that are instances of the same class C1. The various classes are defined either in application program A, or independently from each other, for example, within a

library. The configurable variables are persistent within memory 12.

It can be noted that list L represents objects having either common features, in which case variables
5 or objects V1 and V3 inherit attribute At1 and methods M1 and M2 from class C0 but have their own attributes and methods, or share all of their features in common, in which case V1 and V2 are instances of the same class C1 which has attributes At2 and method M3. In order to
10 configure these objects, a list L should be of the same type as a parent of the class these objects belong to. Thus, means MI1 alone will allow part of contents of objects V1, V2 and V3 to be configured, namely attribute At1. It is also possible to provide other more complex
15 means MI2 for configuring the set of attributes At1 and At2 of variables V1 and V2.

Based on the definition on the type of list L, the present invention enables modifying values of clearly specified object attributes and thus prevent other
20 objects contents from being inadvertently changed. In addition, according to the present invention, the memory location that contains all of the variables in application program A is not directly accessed so that there is no risk that all of those variables might be
25 fraudulently modified.

Another advantage of the present invention is that these variables or objects are persistent within the memory. This means that once they have been configured and if they have not been modified during application
30 program A execution, said objects maintain their initial values even after program A execution. If it is not desired to modify these values before another execution of A, the user does not need to send command CDE for configuring application program A. As a consequence, the
35 initialization phase is no longer required and no initialization means MI needs to be triggered. Therefore, the execution time is reduced.

As described above, JAVA language is attractive in several respects, but one of its most powerful features is that it includes security means, some of which check that each instruction in an application program A as well as its parameters, are valid. For example, if an instruction requires a byte table located at a given address within memory 12 as a parameter, whereas a forbidden memory address is specified instead, the security means will allow this error to be detected and thus prevent forbidden memory access. In order to take advantage of these verification security means, according to the present invention, initialization means MI is defined in the same language as application program A, i. e. in JAVA. Therefore, if one of the parameters to means MI is erroneous, the program will not be executed and a counterfeiter will not be able to access forbidden memory locations.

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CLAIMS

1. An integrated circuit device comprising a memory and at least one application program residing within said memory, characterized in that said application
5 program comprises at least one configurable variable and a list of at least one reference element, and in that said memory includes, on the one hand, at least one means for initializing said variables, wherein said means is configured with several parameters, one of
10 which parameters is said reference element list, and, on the other hand, a command for sending data that contain, in particular, values to be assigned to the configurable variables.

2. A device according to claim 1, characterized in
15 that said configurable variables are persistent within said memory.

3. A device according to any of the preceding claims, characterized in that a reference element refers to a configurable variable.

20 4. A device according to any of the preceding claims, characterized in that said application program has at least two configurable variables that are referred to within the same list and which derive from the same parent class.

25 5. A device according to any of the preceding claims, characterized in that said application program has at least two configurable variables that are referred to within the same list and which are instances of the same class.

30 6. A device according to any of the preceding claims, characterized in that at least one initialization means resides within said memory, irrespective of the application program.

35 7. A device according to any of the preceding claims, characterized in that at least one application program comprises initialization means.

8. A device according to any of the preceding claims, characterized in that all initialization means

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are defined in the same language as said application program.

9. A device according to any of the preceding claims, characterized in that said command enables
5 reading of configurable variable contents.

10. A method for initializing an application program in an integrated circuit device comprising a memory and at least one application program residing within said memory, characterized in that said method
10 includes the steps of:

- generating, within said application program, at least one configurable variable and a list of at least one reference element,
- sending data that contain, in particular, values
15 to be assigned to the configurable variables,
- initializing said variables using one initialization means, wherein said means is configured with several parameters, one of which parameters is the reference element list.

TECHNICAL FIELD

ABSTRACT

5

10 This invention relates to an integrated circuit device comprising a memory and at least one application program residing within said memory. This invention is characterized in that the application program comprises at least one configurable variable and a list of at least one reference element, and in that said memory includes, on the one hand, at least one means for
15 initializing said variables, wherein said means is configured with several parameters, one of which parameters is said reference element list, and on the other hand, a command for sending data that contain, in particular, values to be assigned to the configurable
20 variables. This invention can be applied, in particular, to smart cards.

Figure 2.

25

1/4

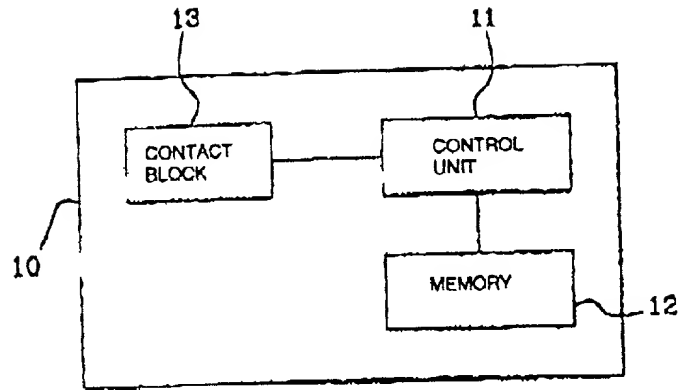


FIG.1

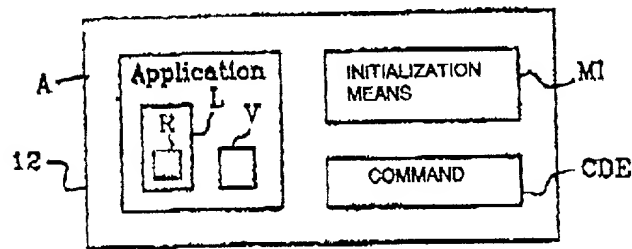


FIG.2

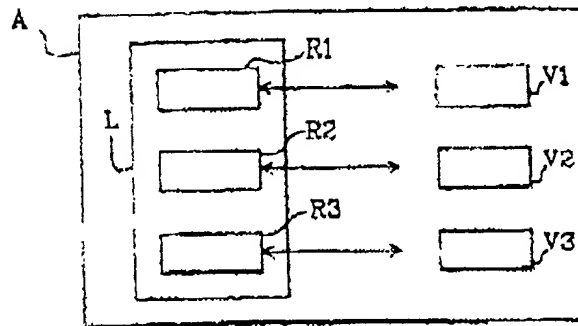


FIG.3

CDE	NUMBER OF ELEMENTS TO BE CONFIGURED			TOTAL DATA LENGTH	INDEX	VALUES	
	MODE	INS	IN			VALUE LENGTH	
{	CLASS	INS	IN	3	47	1	15
						2	10
						3	14
						GSM APPLICATION	
						DIAL	
						CALLING	

DATA

FIG.4

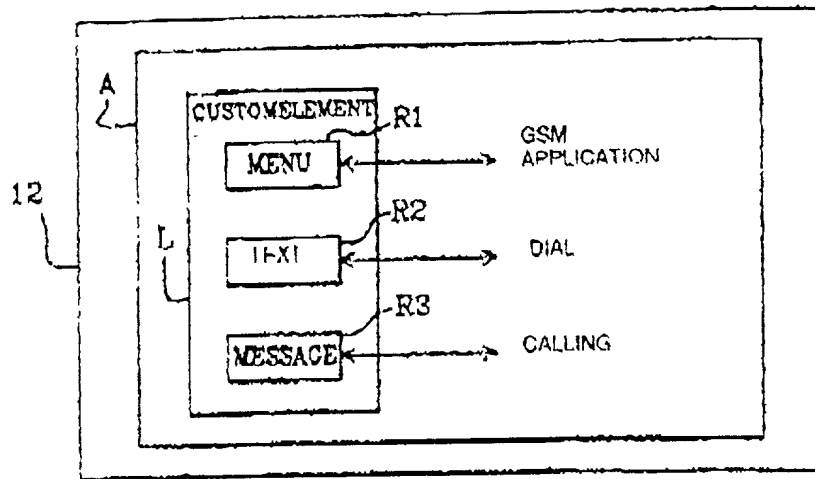


FIG. 5

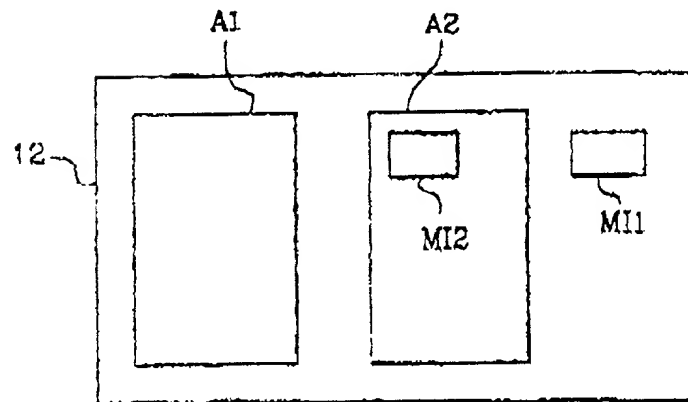


FIG. 6

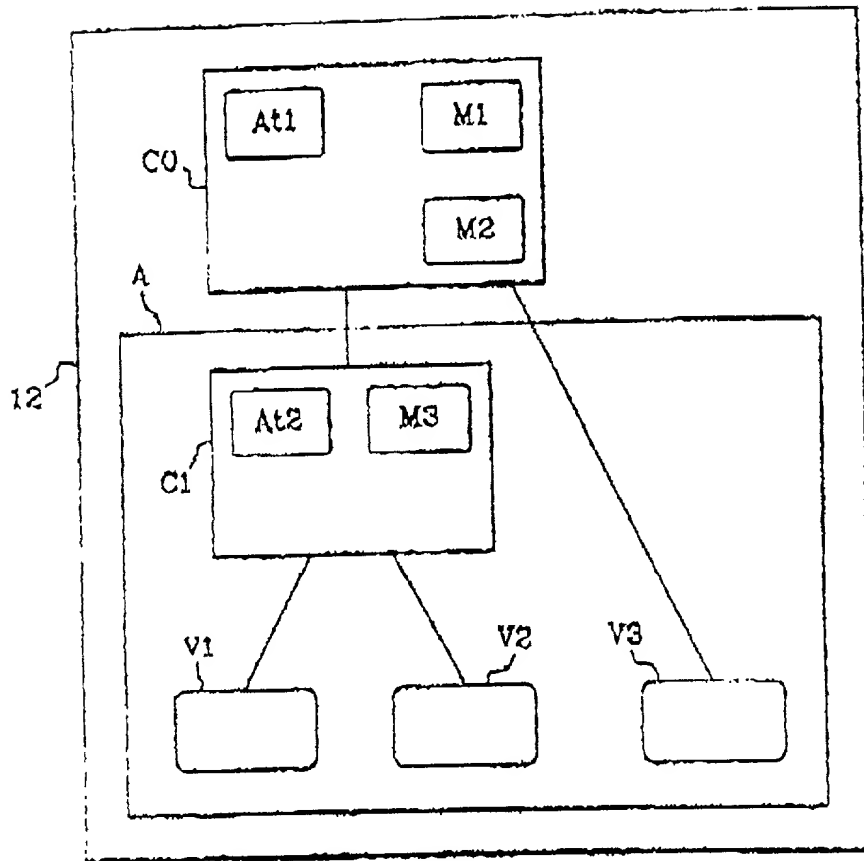


FIG.7

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PTO/SB/81 (02-01)

Approved for use through 10/31/2002. OMB 0651-0035

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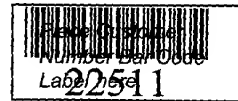
Application Number	09/ 857, 732
Filing Date	June 08, 2001
First Named Inventor	Yannick BURIANNE
Title	Application Software Init...
Group Art Unit	
Examiner Name	
Attorney Docket Number	09669/003001

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I am the:

☒ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name	Yannick BURIANNE
Signature	
Date	27/07/2001

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of _____ forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

☐ Declaration Submitted with Initial Filing **OR** ☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number

09669/003001

First Named Inventor

Yannick BURIANNE

COMPLETE IF KNOWN

Application Number

09 / 857, 732

Filing Date

June 08, 2001

Group Art Unit

Examiner Name

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

APPLICATION SOFTWARE INITIALIZATION DEVICE AND METHOD IN A CARD HAVING AN INTEGRATED CIRCUIT.

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) 06/ 08/ 2001 as United States Application Number or PCT International

Application Number 09/ 857, 732 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
98/ 15493	France	12/ 08/ 1998	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

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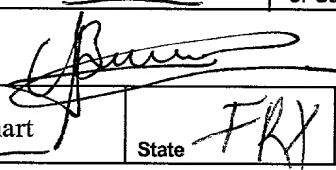
NAME OF SOLE OR FIRST INVENTOR : ☐ A petition has been filed for this unsigned inventorGiven Name
(first and middle [if any])

1-00

Yannick

Family Name
or Surname

BURIANNE

Inventor's
Signature

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☐ Additional inventors are being named on the ____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.